



Classic CRD

CRD 'At A Glance' For Firms

The information provided in this job aid is intended to serve as a reference for FINRA member firms that may not have the need to access the CRD system on a regular basis. Included are tips for staying in contact with FINRA, suggested "best practices" related to managing registrations in CRD, as well as a reference page of phone numbers, addresses, and online resources.

IMPORTANT NOTE:

All classic CRD features should now be accessed through [FINRA Gateway](#), the new FINRA reporting and compliance platform. This new system is designed to focus on compliance functions, such as research, reporting and responding to requests, rather than focusing on the specific system you would access to fulfill your requirements.

If you have any questions or feedback regarding the transition to FINRA Gateway, please contact FeedbackFINRAGateway@finra.org.

Keep Track of Your Firm's Contact Information

Please use this page as a reference for each function below. In order to receive important registration-related information, please remember to keep firm contact information current.

- On the Entitlement Forms you completed to gain access to CRD, you designated the following:
 - ⇒ **Super Account Administrator:** _____
- You are required to designate several contacts in the [FINRA Contact System \(FCS\)](#), including the following roles:
 - ⇒ **Executive Representative:** _____
 - ⇒ **Chief Compliance Officer:** _____
 - ⇒ **Emergency Contact (BCP):** _____
 - ⇒ **Continuing Education:** _____
- In CRD, you provided the following contact to receive certain CRD-related communications ([see page 2](#)):
 - ⇒ **Firm CRD Contact:** _____
- In CRD, you can designate individuals to receive Firm Notification emails about critical registration-related events. Be sure to keep those email addresses current. Use the space below to record 3 recipients you have set up, but FINRA does not limit the number of recipients you may designate for each of these email notifications ([see page 6](#)):
 - ⇒ **Firm Notification Email Recipient:** _____
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- Firms use [E-Bill](#) as the electronic payment method of funding your firm's Flex Funding Account, Renewal Accounts, and/or to pay Invoices. Use the space below to list 3 individuals at your firm with access to E-Bill, but FINRA does not limit the number of E-Bill users your firm may have:
 - ⇒ **E-Bill User:** _____
 - ⇒ **E-Bill User:** _____
 - ⇒ **E-Bill User:** _____

Ways to Stay Updated

Registration and Testing Email Subscription

Member firms can enroll in several FINRA email subscriptions, including Registration and Testing updates.

Access the online email subscription tool at: https://tools.finra.org/email_subscriptions/

FINRA Small Firms Information Page

FINRA created the [Small Firms Information](#) page to make information easily accessible to the small firm community. It contains current and past communications, links of interest to small firms, and other information. When applicable, it includes hyperlinks to:

- Annual Renewal Program
- Compliance Tools for Firms
- CRCP Small Firm Scholarship Program
- FINRA Notices
- FINRA Small Firm Advisory Board Info
- Industry Webinars
- Letters to FINRA Members
- OATS Small Firm Resources
- Registration System Changes

Executive Representative Weekly Email

Sent every week by FINRA to your firm's Executive Representative, it highlights additions/changes to the information on FINRA's Web site. Every FINRA member firm is required to maintain an email account on behalf of its Executive Representative.

To update your firm's Executive Representative or his/her email address, access the FINRA Contact System (FCS) through FINRA Gateway ([see page 3](#)).

Additional information about using FCS can be found at: www.finra.org/fcs.

CRD Training Page on FINRA's Website

On the CRD training page CRD system information such as upcoming training offerings, system job aids, frequently asked questions, system release notes, and much more. This page is updated throughout the year so we recommend visiting it regularly.

Access the CRD training page at: www.finra.org/crd/help

Review In-System Messages

Updated daily in FINRA Gateway and classic CRD, these messages relay timely and important information, including registration-related tips, system updates, and best practices.

To view in-system Messages, access FINRA Gateway ([see page 3](#)) and classic CRD.

- ⇒ Announcements will display at the top of the FINRA Gateway dashboard.
- ⇒ Broadcast Messages will display near the top of the CRD Site Map.
 - ⇒ Click the Details button to view the full message.
 - ⇒ Broadcast Messages can also be printed.

Keep Your CRD Contact Information Current

FINRA may need to contact the firm regarding important CRD-related information via letter, phone or email. Therefore, it is important to update this information if it changes.

To update your firm's CRD Contact information, access CRD through FINRA Gateway ([see page 3](#)).

- ⇒ On the Site Map in the Organization column, click **NFI Organization Search**.
- ⇒ The **Maintain CRD Contact Information** screen displays.
- ⇒ Update the information as needed.
- ⇒ Click the **Save** button.

Accessing FINRA Systems

As of August 21, 2021, the previously used Firm Gateway home page has been retired and users should access all registration applications via the new [FINRA Gateway](#). To access FINRA Gateway:

1. Go to <https://gateway.finra.org>, and
2. Enter your existing CRD user ID and password.

Once you have successfully logged into FINRA Gateway, you can navigate back to individual applications using the **Quick Links** menu on the lower-left (for example, select **Classic CRD** from the list of links). For applications not specifically listed, use the **See More Forms** quick link.

The screenshot displays the FINRA Gateway dashboard interface. At the top, there is a yellow notification bar with a warning icon and the text "Test Contacts View Notification". Below this is a "Dashboard" header with "Dashboard Settings" on the right. The main content area is divided into two sections: "Profile Search" on the left and "Links" on the right. The "Profile Search" section includes radio buttons for "Individual" (selected), "SSN Search", "Pre-Registration", and "Branch". Below these is a search box with the placeholder text "Search by Name or CRD#" and a magnifying glass icon. The "Links" section is titled "Quick Links" and contains a grid of links. The link "Classic CRD" is highlighted with a red box and a red arrow pointing to it from the left. Other links in the grid include "4530 Reporting", "Advertising- Ad Reg", "BD Form", "Compliance Vendor Directory", "E-Bill", "FINRA.org", "Firm Gateway", "Information Requests", "OATS", "OTC Transparency Data", "Over-the-Counter Equities Data", "Peer-2-Peer Compliance Library", "Pre-Registration Search", "Preferred Pricing Program", "RegT Extension", "See More Forms...", and "SIE".

Accessing FINRA Systems (continued)

In order to access FINRA systems, firms must submit an entitlement form and designate one Super Account Administrator (SAA). The SAA is primarily responsible for creating and deleting firm Account Administrators (AA), and modifying Account Administrator privileges. The SAA and other administrators are able to create/delete/modify regular user accounts.

Logging into FINRA Gateway

- FINRA Gateway URL = <https://gateway.finra.org>
- Enter your User ID and Password
- Read the Terms and Conditions, then click the **I Agree** button

Passwords must:

- Be 12-32 characters in length
- Include characters from at least three of the following four categories:
 - Uppercase alphabet characters (A-Z)
 - Lowercase alphabet characters (a-z)
 - Numeric characters
 - Special characters (all special characters are permitted including a space)
- Not reuse a user's 10 most recent passwords
- Not include your first, middle or last name
- Not include your user ID
- Not include profanity, words of a vulgar nature, or any commonly used words identified by information security professionals

NOTES:

- New users will be required to select three security questions and provide responses to each question. On subsequent logins, users may be asked to provide the responses to the security questions he/she selected in order to further verify identity.

Having Trouble Logging In?

- Users who forget their password can click on the "Forgot User ID or Password?" link on the login screen to request a password reset link.
- Five incorrect password attempts within 1 hour will result in a locked account. The account will auto unlock after 1 hour. Accounts can be unlocked sooner than 1 hour if users contact their SAA or AA: or if it is an SAA account, he/she needs to contact the FINRA Gateway Call Center.
- Users who have five incorrect security response attempts, need to contact their SAA or AA for a reset; or if it is an SAA account, he/she needs to contact the FINRA Gateway Call Center at 301-869-6699

Firm Account Administrators

Your firm's Account Administrators are responsible for the following functions:

- Create user accounts for individuals at your firm that require access to CRD and other FINRA systems.
- Perform password administration (e.g., provide initial User ID and Password, unlock accounts, reset passwords, and disable accounts for individual users).
- Grant and update entitlement privileges for individual users.

Account Administrators should contact their firm's Super Account Administrator to request additional entitlement privileges.

Account Management Resources

- [FINRA Entitlement Program](#)

How to Check CRD for Important Registration Information

Firms are electronically notified in CRD about registration-related conditions concerning their firm and representatives in several different ways including: Queues, Alerts, and emailed Firm Notifications.

About Queues

System queues for either the firm or the firm's associated individuals are available in CRD. The information in the queues is continuously updated and should be checked on a regular basis.

Firms should monitor their Queues regularly and maintain current contact information and email addresses for Firm Notification email recipients.

Queues Information Resources

- **Firm Queues for Individuals or Firm Queues for Organizations** quick reference guides:
www.finra.org/crd/help > CRD Quick Reference Guides

Firm Queues for Organizations

- **Current Deficiencies** - Lists the firm's Form BD or BDW deficiencies and remains in this queue until the deficiency is satisfied.
- **Branch Status** - Lists all participating Jurisdiction and SRO branch office statuses for your firm.
- **Branch Deficiencies** – Lists the deficiency for each branch office. Notices remain in queue for 120 days.
- **Disclosure Letters** - Displays organization Disclosure notifications sent to the firm.
- **SFG Retirement** - Lists the retiring firm for simultaneous filing group, by date of retirement. Notices remain in queue for 120 days.
- **Withdrawal or Termination Queue** - Lists the firm's withdrawal or termination notices by effective date and remains in this queue for 120 days.
- **Queue Totals** - Displays the number of records currently in each queue.

Alerts

Alerts work in conjunction with the Individual queues to notify the firm of the number of individuals in a critical registration-related queue.

The Alerts are:

1. Denied Individual Registrations
2. Inactive Registration Due to Missing Fingerprint Cards
3. Manual Termination
4. Temporary Registration Cancellation
5. Termination
6. U5 Required

To view your firm's Alerts, follow these steps:

- ⇒ Access CRD through FINRA Gateway ([see page 3](#)).
- ⇒ On the Site Map in the individual column, under 'Firm Queues' click on the 'Alerts' link.
- ⇒ If your firm has any Alerts, then check the applicable Queue to view the affected individual(s).

Firm Queues for Individuals

- Individuals remain in the following queues **until your firm responds or the condition is met/resolved**:
 - Outstanding Disclosure Letters Queue
 - Scheduled Exams Queue
 - Inactive Registrations Due to Missing Fingerprint Cards Queue
 - Pending Individual Registrations Queue
 - Manual Termination Queue
 - U5 Required Notice Queue
- Individuals remain in the following queues for **up to 30 days**:
 - Fingerprint Status Received from FBI Queue
 - Notices of Undelivered Fingerprint Cards Queue
 - Denied Individual Registrations Queue
 - Temporary Registration Cancellation Queue
 - Termination Queue
- Individuals remain in the following queues for **up to 120 days**:
 - Purged Individual Registrations Queue
- Individuals remain in the following queues **indefinitely**:
 - Completed Exams Queue
 - Disclosure Review Queue
 - Other Firm U4 Filing Queue
 - Approved Individual Registrations Queue
 - Current Individual Deficiencies Queue
 - U5 Queue
 - U5 Late Fees Queue

About Firm Notifications

Firm Notifications are systematically generated when critical registration-related events occur in CRD. They are emailed to the individual(s) designated by your firm. Hardcopy postal mail notifications are not sent to firms. Firms should monitor their Queues regularly, elect to receive the email notifications appropriate for them, and maintain current email addresses for Firm Notification recipients.

Types of Firm Notifications

There are several types of Firm Notifications that a firm may elect to receive:

Registration

- Notify when an individual's examination status changes
- Notify when an individual has a fingerprint updated with a status of ILEG - BD Only
- Notify when an individual's registration is Inactive Prints with the Firm - BD Only
- Notify when an individual's registration request is T_NOU5
- Notify when an individual with deficient registration is Eligible to Purge within the next 30 days
- Notify when an individual has a fingerprint updated with a status of RAPP - BD Only
- Notify when an individual's registration request has been Denied.
- Notify when an individual's registration has been Revoked.
- Notify when a registered individual enters Firm Temporary Registration Cancellation Queue
- Notify when a U5 is submitted by another firm

Disclosure

- Notify when a Bankruptcy has expired for a registered individual with the firm
- Notify when a Customer Complaint has expired for a registered individual with the firm
- Notify when a U6 is filed against a registered firm or active exempt reporting adviser
- Notify when a U6 is filed against an individual registered with the firm
- Notify when a registered, NRF, or formerly registered individual enters Firm Outstanding Disclosure Letters Notice Queue
- Notify when a registered, NRF, or formerly registered individual has an Outstanding Disclosure Letter more than 30-60-90 days old
- Notify when a letter enters the Organization Disclosure Letters Queue

Other

- Notify when Firm account balance is 'Deficient'
- Notify when firm has an outstanding Form BD deficiency
- Notify when a filing has failed submission
- Notify when a registered individual enters Other Firm U4 Filing Notice Queue
- Notify when registered individuals are within 10 days of CE Inactive or Prints Inactive statuses

Branch

- Notify when a branch registration is approved
- Notify when a branch is deficient

Firm Notification Resources

- For instructions on enrolling in these notifications, please review the **Firm Notification Quick Reference Guide**: www.finra.org/crd/help > CRD Quick Reference Guides > Firm Notification

For Your Reference

Online Resources

- FINRA Web Site: www.finra.org
- CRD Information: www.finra.org/crd
- FINRA Gateway Information: www.finra.org/finragateway
- Small Firm Information: www.finra.org/industry/small-firms
- Compliance Calendar: www.finra.org/compliance-tools/compliance-calendar
- Paying FINRA Fees: www.finra.org/registration-exams-ce/classic-crd/pay-fees
- Annual Renewal Program: www.finra.org/renewals
- Branch Office Registration: www.finra.org/crd/branchoffice
- Broker Qualifications & Continuing Education: www.finra.org/registration-exams-ce/individuals
- Submitting Fingerprint Cards: www.finra.org/registration-exams-ce/classic-crd/fingerprints/submit-fingerprints
- Regulatory Filing and Reporting: www.finra.org/filing-reporting
- Financial Professional Gateway (FinPro): www.finra.org/finpro
- Industry Webinars: www.finra.org/webinars
- NASAA Web Site: www.nasaa.org
- SEC Web Site: www.sec.gov

Email Addresses

- **CRD Questions:**
WebCRD@finra.org
- **FINRA Gateway Feedback:**
FeedbackFINRAGateway@finra.org

Phone Numbers

FINRA Member Hotline:
(301) 869-6699

To schedule, reschedule, or cancel an exam appointment at a testing center, call:

Prometric:
(800) 578-6273

CRD Mailing Addresses

Mail Service	Address
Regular U.S. Mail: (P.O. Boxes will not accept courier or overnight deliveries)	FINRA P.O. Box 9495 Gaithersburg, MD 20898-9495
Express/Overnight Mail Delivery: If a phone number is required for the recipient, provide: (800) 376-2703	FINRA Document Processing 9509 Key West Avenue Rockville, MD 20850